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PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

001/PTO
Rev. 10/95

U.S. Department of Commerce
Patent and Trademark Office

Application Number **09/757,872**

Filing Date **January 10, 2001**

First Named Inventor **John S. Flowers et al.**

Group Art Unit Number **2131**

Examiner Name **Gail O. Hayes**

Total Number of Pages in This Submission

8*

Attorney Docket Number **23327-06893**

TRANSMITTAL FORM

(to be used for all correspondence during pendency of filed application)

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ENCLOSURES (check all that apply)

Technology Center 2100

- Fee Transmittal Form (in duplicate)
 - Checks Enclosed:
- Return Receipt Postcard
- Response to Notice to File Missing Parts
- Assignment & Recordation Cover Sheet
- Declaration
- Power of Attorney
- Application Data Sheet
- Information Disclosure Statement & PTO/SB/08A
 - Copies of IDS Cited References (37)
- Request for Corrected Filing Receipt
- Request for Correction of Recorded Assignment
- Preliminary Amendment [] Page(s)
 - After Final
- Status Request
- Revocation and Substitute Power of Attorney

- Issue Fee Transmittal
- Letter to Chief Draftsperson
- Formal Drawing(s):
 - [] Sheet(s) of Figure(s) []
- Appeal Communication to Board of Appeals and Interferences
- Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- Certified Copy of Priority Document(s)
- After Allowance Communication to Group
- _____
- _____
- _____
- _____
- _____
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REMARKS:

* total pages submitted does not include references cited

SIGNATURE OF ATTORNEY OR AGENT

Signature:

Attorney/Reg. No.:

Brian M. Hoffman, Reg. No. 39,713

Dated: **November 26, 2002**

CERTIFICATE OF MAILING

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APPLICANTS: John S. Flowers *et al.*

APPLICATION NO.: 09/757,872

FILING DATE: January 10, 2001

TITLE: QUERY-BASED RULES FOR USE IN NETWORK SECURITY SYSTEMS

EXAMINER: Gail O. Hayes

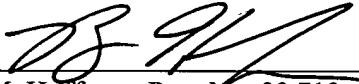
GROUP ART UNIT: 2131

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**INFORMATION DISCLOSURE STATEMENT
Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;

- before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
 - Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
 - no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
 - each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
 - no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this

certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
- after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. [APPLICATION NUMBER], filed on [FILING DATE], and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

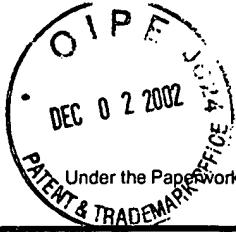
Respectfully submitted,

JOHN S. FLOWERS *et al.*

Dated: November 26, 2002

By: 

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PTO/SB/08A (10-01)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet

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of

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Complete if Known

Application No.	09/757,872
Filing Date	January 10, 2001
First Named Inventor	John S. Flowers <i>et al.</i>
Art Unit	2131
Examiner Name	Gail O. Hayes

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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document No.	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	A1	US- 5,278,901	01-11-1994	Shieh <i>et al</i>
	A2	US- 5,796,942	08-18-1998	Esbensen
	A3	US- 5,798,706	08-25-1998	Kraemer <i>et al.</i>
	A4	US- 5,892,903	04-06-1999	Klaus
	A5	US- 5,931,946	08-03-1999	Terada <i>et al.</i>
	A6	US- 5,958,015	09-28-1999	Dascalu
	A7	US- 5,991,881	11-23-1999	Conklin <i>et al.</i>
	A8	US- 6,185,689 B1	02-06-2001	Todd, Sr. <i>et al.</i>
	A9	US- 6,263,444 B1	07-17-2001	Fujita
	A10	US- 6,279,113 B1	08-21-2001	Vaidya
	A11	US- 6,282,546 B1	08-28-2001	Gleichauf <i>et al.</i>
	A12	US- 6,298,445 B1	10-02-2001	Shostack <i>et al.</i>
	A13	US- 6,301,668 B1	10-09-2001	Gleichauf <i>et al.</i>
	A14	US- 6,321,338 B1	11-20-2001	Porras <i>et al.</i>
	A15	US- 6,324,656 B1	11-27-2001	Gleichauf <i>et al.</i>
	A16	US- 6,330,562 B1	12-11-2001	Boden <i>et al.</i>
	A17	US- 6,343,362 B1	01-29-2002	Ptacek <i>et al.</i>
	A18	US- 6,347,376 B1	02-12-2002	Attwood <i>et al.</i>
	A19	US- 6,359,557 B2	03-19-2002	Bilder
	A20	US- 6,363,489 B1	03-26-2002	Comay <i>et al.</i>
	A21	US- 6,370,648 B1	04-09-2002	Diep
	A22	US- 6,408,391 B1	06-18-2002	Huff <i>et al.</i>
	A23	US- 2002/0133721 A1	09-19-2002	Adjaoute

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
	B1	WO 01/31420 A2	05-03-2001	Visa International Service Association	
	B2	WO 02/45380 A2	06-06-2002	Lancope, Inc.	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.



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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet

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Complete if Known	
Application No.	09/757,872
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Art Unit	2131
Examiner Name	Gail O. Hayes
Attorney Docket Number	23327-06893

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OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS

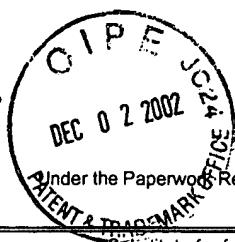
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	C1	Abstract, W. Erhard, et al., "Network Traffic Analysis and Security Monitoring With UniMon", Proceeding of the IEEE Conference on High Performance Switching and Routing, 2000, ATM 2000, pp 439 – 46 (June 2000).	/
	C2	Abstract, Dept. of Comput. Sci., California Univ., Davis, CA, USA, "A Methodology For Testing Intrusion Detection Systems", IEEE Transactions on Software Engineering, Vol. 22, Issue 10, pp 719-29 (October 1996).	/
	C3	Abstract, Mounji A. Le Charlier, et al., "Distributed Audit Trail Analysis", Proceeding of the Symposium on Network and Distributed System Security, 1995, pp 102 – 12 (Feb 16 – 17, 1995).	/
	C4	Abstract, L.T. Heberlein, et al., "A Network Security Monitor" Proceeding of the 990 IEEE Computer Society Symposium on Research in Security and Privacy, pp 296-04, (May 7 – 9, 1990).	/
	C5	Abstract, Xinzhou Quin et al., "Integrating Intrusion Detection and Network Management", Network Operation and Management Symposium, 2002. NAOMS 2002. 2002 IEEE/IFIP, pp 329 – 44 (April 15 – 19, 2002).	/
	C6	Abstract, D.G. Schwartz et al., "A Case-Based Approach To Network Intrusion Detection", Proceeding of the 5th International Conference on Information Fusion, 2002. Vol. 2 pp 1084 – 89 (July 8 – 11, 2002).	/
	C7	Abstract, "Open Source Security: Opportunity or Oxymoron?" Computer, Vol. 35, Issue 3, pp 18 – 21 (March 2002).	/
	C8	Abstract, Liu Dihua, et al. "Data Mining For Intrusion Detection", Proceedings ICII 2001 – Beijing 2001 International Conference on Info-Tech and Info-Net, 2001, Vol. 5, pp 7 – 12, (October 29 – November 2001).	/
	C9	Abstract, Kai Hwang & M. Gangadharan, "Micro-Firewalls for Dynamic Network Security With Distributed Intrusion Detection", NCA 2001 IEEE International Symposium on Network Computing and Applications, 2001. pp 68 – 79, (October 8 – 10, 2001).	/
	C10	Abstract, Wenke Lee Stolfo, et al., "Real Time Data Mining-Based Intrusion Detection", Proceedings DARPA Information Survivability Conference & Exposition II, 2001, DISCEX '01. Vol. 1, pp 89 – 100 (June 12 – 14, 2001).	/

Examiner Signature		Date Considered	
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Substitute for form 1449A/PTO				<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application No.	09/757,872
				Filing Date	January 10, 2001
				First Named Inventor	John S. Flowers <i>et al.</i>
				Art Unit	2131
				Examiner Name	Gail O. Hayes
Sheet	3	of	3	Attorney Docket Number	23327-06893
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OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS

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